



## **Division Guideline #61**

**Date: Created 10/20/2016**

**Title: Individual Support Plan Review effective 12/01/2016**

**Application:** Targeted Case Management (TCM) entities responsible for facilitating and/or writing individual support plans (ISP) for individuals eligible for Division of Developmental Disabilities (DD) services.

**Purpose:**

- To describe the review of ISPs for individuals served by the division.
- To describe the processes used to ensure compliance with ISP Medicaid Waiver requirements and the Division of DD Individual Support Plan Guidelines.

### **I. ISP Reviews (applies to TCM entities)**

- A. Monitoring of a selected sample, meeting 95 percent confidence level, of ISPs: Technical Assistance Coordinators (TAC), or their designee, who have received training in and have knowledge of the ISP required components shall monitor selected ISPs, including subsequent amendments, and ALL documentation of monthly progress for the past 12 months.
  1. Quarterly, the Division of DD Quality Enhancement Unit will provide a list of randomly selected consumers from each of the waivers. Replacement names are provided in the following instances:
    - a. Waiver slot becomes inactive;
    - b. Individual has been discharged; or
    - c. Individual was transferred to another region.
  2. The review is designed to be conducted on a sample of waiver participants and to ensure adherence to Center for Medicare and Medicaid Services (CMS) Waiver and Division of DD requirements.
  3. The review will include a statistically valid random sample of Missouri Children with Developmental Disabilities (MOCDD or Lopez, Autism, Comprehensive, Community Support, and Partnership for Hope Waiver ISPs.
  4. The ISP Reviews must be entered into the [Integrated Quality Management Functions](#) (APTS) database, under the Quality Management Source - ISP Review, by the 15<sup>th</sup> of the last month of each Fiscal Year quarter (1<sup>st</sup> quarter – September 15, 2<sup>nd</sup> quarter – December 15, 3<sup>rd</sup> quarter – March 15, 4<sup>th</sup> quarter – June 15).
- B. If an ISP does not meet criteria set forth in the required components, the reviewer shall share the appropriate information with the TCM entity representative as well as document the follow up. The ISP shall be revised to include component(s) that were found to be absent.

- C. If the ISP Review process reveals a lack of meaningful progress (e.g., no progress, progress not related to the outcome, extreme length of time to complete strategies, same ISP year after year) or maintenance of the current functioning level, this information shall be shared with the TCM entity representative for revision of the ISP.
- D. Implementation Review
  - 1. Support monitoring is completed to ensure the ISP is being implemented as written.
    - a. All ISPs for consumers receiving purchased services will be reviewed at least quarterly by the assigned Support Coordinator.
    - b. Findings will be entered into the [Integrated Quality Management Functions](#) (APTS) database.
    - c. Trends are reviewed in each region and follow up with the TCM entity will be completed.

## **II. Process for Discovery, Remediation and Improvement Strategies**

- A. Discovery and Remediation: ISP Reviews
  - 1. Issues from ISP reviews are documented in the [Integrated Quality Management Functions](#) (APTS) database and communicated to the TCM entity within 10 working days of the review date.
  - 2. Remediation by the Support Coordinator is to be completed within 30 days of being notified about issues.
  - 3. The TCM entity will notify the Regional Office of the date issues have been resolved and provide verification.
  - 4. The reviewer verifies resolution of identified issues and ensures resolution date is entered into the [Integrated Quality Management Functions](#) (APTS) database.
  - 5. Findings and remediation are located in [Integrated Quality Management Functions](#) (APTS) database for tracking and trending.
- B. Data Analysis
  - 1. At least quarterly, the Division of DD State Quality Enhancement (QE) Unit or designee will analyze the data and review statewide trends.
  - 2. If significant trends are identified, they will be reviewed with the QE Director.
  - 3. The TCM TAC Statewide Coordinator will be provided an analysis of trends.
- C. Improvement Strategies
  - 1. Guidelines, as well as processes, will be evaluated and revisions may be recommended.
  - 2. Training, technical assistance, and/or policy changes will be implemented to address issues and trends.
  - 3. As required in the waiver applications, quarterly reports are provided to Mo HealthNet on the compliance level of each CMS assurance.

### **Authority:**

[9 CSR 45-3.010: Individualized Habilitation Plan Procedures](#)

[Home and Community Based Waiver](#)

[RSMO 633.110](#)

[Technical Assistance Manual for Regional Offices, County Senate Bill 40 Boards, and Other Not-for-Profit Agencies](#)

*This guideline will be reviewed and updated annually, if needed.*